U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

Attorney Docket Number ORACL-01371US1 Application/Patent Number 10/786,742

Information Disclosure Statement **BY APPLICANT**

Applicant/Patent Owner Christopher E. Bales, et al.

(Use several sheets if necessary)

Filing/Issue Date Group Art Unit February 25, 2004 2172

| U.S. PATENTS | | | | | |
|---------------------|---------------|---------|----------------------|--|--|
| Examiner Initial | Patent Number | Date | First Named Inventor | | |
| | 5,671,360 | 09-1997 | Hambrick et al. | | |
| | 5,801,702 | 09-1998 | Dolan et al. | | |
| | 5,806,066 | 09-1998 | Golshani et al. | | |
| | 5,911,143 | 06-1999 | Deinhart et al. | | |
| | 5,918,210 | 06-1999 | Rosenthal et al. | | |
| | 6,014,666 | 01-2000 | Helland et al. | | |
| | 6,023,765 | 02-2000 | Kuhn | | |
| | 6,073,242 | 06-2000 | Hardy et al. | | |
| | 6,105,027 | 08-2000 | Schneider et al. | | |
| | 6,158,007 | 12-2000 | Moreh et al. | | |
| | 6,161,139 | 12-2000 | Win et al. | | |
| | 6,182,142 | 01-2001 | Win et al. | | |
| | 6,205,466 | 03-2001 | Karp et al. | | |
| | 6,216,134 | 04-2001 | Heckerman et al. | | |
| | 6,233,576 | 05-2001 | Lewis | | |
| | 6,327,628 | 12-2001 | Anuff et al. | | |
| | 6,357,010 | 03-2002 | Viets et al. | | |
| | 6,408,336 | 06-2002 | Schneider et al. | | |
| | 6,434,607 | 08-2002 | Haverstock et al. | | |
| | 6,446,200 | 09-2002 | Ball et al. | | |
| | 6,671,689 | 12-2003 | Papierniak | | |
| | 6,728,748 | 04-2004 | Mangipudi et al. | | |
| | 6,735,624 | 05-2004 | Rubin et al. | | |
| | 6,751,657 | 06-2004 | Zothner | | |

| U.S. | Pate | nt Aj | oplica | tion | No. | 10/78 | 36,742 |
|-------|------|-------|--------|-------|-----|-------|--------|
| Atto: | rnev | Dock | cet No | o.: B | EAS | -0137 | 'IUSI |

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

| Attorney Docket Number | Application/Patent Number |
|--|---------------------------|
| ORACL-01371US1 | 10/786,742 |
| Applicant/Patent Owner Christopher E. Bales, et al. | |

Information Disclosure Statement
BY APPLICANT
(Use several sheets if necessary)

Filing/Issue Date Group Art Unit
February 25, 2004 2172

| | U.S. PATENTS | | | | | | |
|--------------------------|---------------------------------------|--------------|--|---------------|----------------------|--|--|
| Examiner Initial | Patent Number | | Date | | First Named Inventor | | |
| | 6,772,157 | 08- | 2004 | Barne | tt et al. | | |
| | 6,886,100 | 04- | 04-2005 Han | | h et al. | | |
| | 6,917,975 | 07- | 2005 | Griffi | n et al. | | |
| | 6,985,905 | 01- | 2006 | Promp | ot et al. | | |
| | 7,020,641 | 03- | 2006 | Leong | et al. | | |
| | 7,039,176 | 05- | 05-2006 Borodo | | low et al. | | |
| | 7,043,685 | 05-2006 Azum | | Azum | a | | |
| | 7,058,958 | 06- | 06-2006 Shutt 08-2006 Singha | | et al. | | |
| | 7,093,285 | 08- | | | ghani et al. | | |
| | 7,111,321 | 09- | 2006 | Watts | et al. | | |
| | 7,134,137 | 11- | 2006 | Joshi | et al. | | |
| | 7,269,664 | 09- | 2007 | Hutsc | h | | |
| | 7,415,498 | 08- | 2008 | Russo | et al. | | |
| | 7,493,624 | 02- | 02-2009 Kautz | | zleben et al. | | |
| | 7,614,015 | | 2009 | Whalen et al. | | | |
| U.S. PATENT PUBLICATIONS | | | | | | | |
| Examiner Initial | Patent Application Publication Number | | Date | | Applicant | | |
| | 2001/0009016 | | 07-2001 | | Hofmann et al. | | |
| | 2001/0034733 | | 10-2001 | | Prompt et al. | | |
| | 2002/0002613 | | 01-2002 | | Freeman et al. | | |
| | 2002/0010741 | | 01-2002 | | Stewart et al. | | |
| | 2002/0023122 | | 02-2002 | | Polizzi et al. | | |
| | 2002/0049961 | | 04-2002 | | Fang et al. | | |

| U.S. Patent Application No. 10/786,742 |
|--|
| Attorney Docket No.: BEAS-01371US1 |

- 4 -

M:\tliu\wp\ORACL\1351-1399\1371US1\oracl_01371us1_IDS_062111.wpd

| Examiner Signature: Date Considered: |
|--------------------------------------|
|--------------------------------------|

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

| Attorney Docket Number | |
|------------------------|--|
| OR ACL-01371US1 | |

Application/Patent Number 10/786,742

Information Disclosure Statement **BY APPLICANT**

Applicant/Patent Owner Christopher E. Bales, et al.

Filing/Issue Date

February 25, 2004

Group Art Unit

We several sheets if necessary)

| | U.S. PATENT PUBLICATIONS | | | | | | |
|---------------------|---------------------------------------|---------|----------------------|--|--|--|--|
| Examiner Initial | Patent Application Publication Number | Date | Applicant | | | | |
| | 2002/0123983 | 09-2002 | Riley et al. | | | | |
| | 2002/0147801 | 10-2002 | Gullotta et al. | | | | |
| | 2002/0174097 | 11-2002 | Rusch et al. | | | | |
| | 2003/0004982 | 01-2003 | Brandon et al. | | | | |
| | 2003/0144389 | 07-2003 | Andrews et al. | | | | |
| | 2003/0145275 | 07-2003 | Qian et al. | | | | |
| | 2003/0177389 | 09-2003 | Albert et al. | | | | |
| | 2004/0003347 | 01-2004 | Saidenberg et al. | | | | |
| | 2004/0010719 | 01-2004 | Daenen | | | | |
| | 2004/0019494 | 01-2004 | Ridgeway et al. | | | | |
| | 2004/0030746 | 02-2004 | Kavacheri et al. | | | | |
| | 2004/0167867 | 08-2004 | Owen et al. | | | | |
| | 2004/0167880 | 08-2004 | Smith | | | | |
| | 2004/0205659 | 10-2004 | Barry et al. | | | | |
| | 2005/0138412 | 06-2005 | Griffin et al. | | | | |
| | 2005/0188295 | 08-2005 | Konkus et al. | | | | |
| | 2005/0262107 | 11-2005 | Bergstraesser et al. | | | | |
| | 2006/0005150 | 01-2006 | Pankovcin | | | | |
| | 2006/0085836 | 04-2006 | Lyons et al. | | | | |
| | 2006/0173999 | 08-2006 | Rider et al. | | | | |
| | 2006/0225123 | 10-2006 | Childress et al. | | | | |
| | 2006/0277594 | 12-2006 | Chiavegatto et al. | | | | |
| | 2007/0294743 | 12-2007 | Kaler et al. | | | | |

| U.S. Patent Application | on No. 10/786,742 |
|-------------------------|-------------------|
| Attorney Docket No.: | BEAS-01371US1 |

M:\tliu\wp\ORACL\1351-1399\1371US1\oracl_01371us1_IDS_062111.wpd

| Examiner Signature: | Date Considered: |
|---------------------|------------------|
| | |

- 5 -

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

| Attorney Docket Number ORACL-01371US1 | Application/Patent Number 10/786,742 |
|--|--------------------------------------|
| Applicant/Patent Owner Christopher E. Bales, et al. | |
| Filing/Issue Date | Group Art Unit |

Information Disclosure Statement
BY APPLICANT
(Use several sheets if necessary)

| | FOR | EIGN PATENT DOC | CUMENTS | | | | |
|---------------------|---|-----------------|--------------------|--|--|--|--|
| Examiner Initial | Document Number Publication Date Country Name | | | | | | |
| | EP 0697662 | 02-1996 | EP | Deinhart et al. | | | |
| (Include nam | | | the item (book, ma | gazine, journal, serial, symposium, catalog, | | | |
| | SANDHU, Ravi, et al., "The NIST Model for Role-Based Access Control: Towards A Unified Standard," Proceedings of the Fifth ACM Workshop on Role-Based Access Control, July 26-28, 2000, pp. 47-63, Berlin, Germany [retrieved from ACM database on 01.02.2010]. | | | | | | |
| | SANDHU, Ravi, et al., "The ARBAC97 Model for Role-Based Administration of Roles," ACM Transactions on Information and System Security, February 1999, pp. 105-135, Vol. 2, No. 1. | | | | | | |
| | SANDHU, Ravi, et al., "The RRA97 Model for Role-Based Administration of Role Hierarchies," ACSAC 1998, pp. 39-49. | | | | | | |
| | AHN, Gail-Joon, et al., "Role-based Authorization Constraints Specification Using Object Constraint Language," WETICE 2001, pp. 157-162, IEEE. | | | | | | |
| | FADEN, Glenn, "RBAC in UNIX Administration," ACM Workshop on Role-Based Access Control, 1999, pp. 95-101. | | | | | | |
| | GUSTAFSSON, Mats, et al., "Using NFS to Implement Role-Based Access Control," WETICE 1997, pp. 299-304, IEEE. | | | | | | |
| | JOSHI, James, et al., "Security Models for Web-Based Applications," Communications of the ACM, February 2001, pp. 38-44, Vol. 44, No. 2. | | | | | | |
| | NA, SangYeob, et al., "Role Delegation in Role-Based Access Control," ACM Workshop on Role-Based Access Control, July 26-28, 2000, pp. 39-44, Berlin, Germany. | | | | | | |
| | OH, Sejong, et al., "Enterprise Model as a Basis of Administration on Role-Based Access Control," CODAS 2001, pp. 150-158, IEEE. | | | | | | |
| | PARK, Joon S., et al., "Role-Based Access Control on the Web," ACM Transactions on Information and System Security, February 2001, pp. 37-71, Vol. 4, No. 1. | | | | | | |
| | PORWAL, Priyank, "Automating Optimistic Access Control Systems," University of North Carolina at Chapel Hill, 10 pages. | | | | | | |

February 25, 2004

| U.S. Patent Application No. 10/786,742 |
|--|
| Attorney Docket No.: BEAS-01371US1 |

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

| Attorney Docket Number ORACL-01371US1 | Application/Patent Number 10/786,742 |
|---------------------------------------|--------------------------------------|
| OKACL-013/1031 | 10/780,742 |

Information Disclosure Statement **BY APPLICANT**

(Use several sheets if necessary)

Applicant/Patent Owner
Christopher E. Bales, et al.

Filing/Issue Date
February 25, 2004

Group Art Unit
2172

| NON-PATENT LITERATURE DOCUMENTS (Include name of the author (in CAPITAL LETTERS), title of the article, title of the item (book, magazine, journal, serial, symposium, catalog, etc.) date, pages, volume-issue number(s), publisher, city and/or country where published. | | |
|---|--|--|
| | POVEY, Dean, "Optimistic Security: A New Access Control Paradigm," Cooperative Research Centre for Enterprise Distributed Systems, 1999, 6 pages. | |
| | SHIM, Won Bo, et al., "Implementing Web Access Control System for the Multiple Web Servers in the Same Domain Using RBAC Concept," ICPADS 2001, pp. 768-773, IEEE. | |
| | BROWNE, Shirley, et al., "Technologies for Repository Interoperation and Access Control," ACM 1998, pp. 40-48. | |
| | BROWNE, Shirley, et al., "Reuse Library Interoperability and the World Wide Web," ACM 1997, pp. 182-189. | |
| | Microsoft Windows ("Windows Explorer") copyright © 1981-2001, 3 pages. | |
| | Microsoft Computer Dictionary, 5th Edition, 2002, p. 81, Microsoft Press, Redmond, Washington. | |
| | International Search Report for PCT/US02/34008, dated December 31, 2002, 5 pages. | |
| | International Search Report for PCT/US02/34308, dated March 5, 2003, 4 pages. | |
| | | |
| | | |

| Examiner | Date Considered |
|---|--|
| *EXAMINER: Initial if citation considered, whether or not citation is a conformance and not considered. Include copy of this form with next conformation. | e |
| *1 = Copy not submitted because it was submitted in prior applicar §120. | tion SN _/, filed, 20, relied on under 35 USC |
| | ation SN _/, filed, 20, relied on under 35 USC |

| U.S. Patent Application No. 10/786,742 |
|---|
| Attorney Docket No.: BEAS-01371US1 |
| A C V (1') A C D A C T \ 1.2 C 1 1.2 C O \ 1.2 T 1 T T C 1 |

- 7 -